Signature

Approved for use through 08/30/2003. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

	Application Number	10/614,335
TRANSMITTAL	Filing Date	July 7, 2003
FORM	First Named Inventor	James David Keeler et al.
(to be used for all correspondence after initial filing)	Art Unit	2121
	Examiner Name .	George B. Davis
Total Number of Pages in This Submission	Attorney Docket Number	PAVI-26,470

ENCLOSURES (Check all that apply)					
Fee Transmittal Form	Drawing(s)	After Allowance communication to Technology Center (TC)			
Fee Attached Amendment/Reply After Final Affidavits/declaration(s) Extension of Time Request Express Abandonment Request Information Disclosure Statement Certified Copy of Priority Document(s) Response to Missing Parts/ Incomplete Application	Licensing-related Papers Petition Petition to Convert to a Provisional Application Power of Attorney, Revocation Change of Correspondence Address Terminal Disclaimer Request for Refund CD, Number of CD(s) Remarks	Appeal Communication to Board of Appeals and Interferences Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) Proprietary Information Status Letter Other Enclosure(s) (please Identify below): Credit Card Form; 23 References; Post Card.			
Response to Missing Parts under 37 CFR 1.52 or 1.53		•			
SIGNA	 TURE OF APPLICANT, ATTORNEY, C	DR AGENT			
Firm HOWISON & ABNO	<u> </u>	MACENT			
or Individual name Gregor M. Howison	, Reg. No. 30,646				
Signature					
Date 1/28/	05				
<u> </u>	ERTIFICATE OF TRANSMISSION/MAI	LING			
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This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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	for	FY	2005	5

Effective 10/01/2004. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

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(5)	180.	UU.

Complete if Known					
Application Number	10/614,335				
Filing Date	July 7, 2003				
First Named Inventor	Keeler et al.				
Examiner Name	George B. Davis				
Art Unit	2121				
Attorney Docket No.	PAVI-26.470				

METHOD OF PAYMENT (check all that apply)	FEE CALCULATION (continued)			
Order L Thomas	ONAL FEES			
Deposit Account:				
Deposit Co. 0700/DAY/1 00 470 Code (\$)	Fee Fee Fee Description Code (\$) Fee Paid			
Account Number 20-0780/PAVI-26,470 1051 130	2051 65 Surcharge - late filing fee or oath			
Deposit Account HOWISON & ARNOTT, L.L.P. 1052 50	2052 25 Surcharge - late provisional filing fee or cover sheet			
Name 1053 130	1053 130 Non-English specification			
Charge fee(s) indicated below Credit any overpayments 1812 2,520	1812 2,520 For filing a request for ex parte reexamination			
Charge any additional fee(s) or any underpayment of fee(s)	1804 920* Requesting publication of SIR prior to Examiner action			
Charge fee(s) indicated below, except for the filing fee 1805 1,840*	1805 1,840* Requesting publication of SIR after			
to the above-identified deposit account.	Examiner action			
FEE CALCULATION 1251 110	2251 55 Extension for reply within first month 2252 215 Extension for reply within second month			
1. BASIC FILING FEE 1252 430				
Large Entity Small Entity Fee Fee Fee Fee Fee Fee Pee Peed 1,254 1,530	2253 490 Extension for reply within third month 2254 765 Extension for reply within fourth month			
Code (\$) Code (\$)				
1001 790 2001 395 Utility filing fee 1255 2,080	2255 1,040 Extension for reply within fifth month			
1002 350 2002 175 Design filing fee 1401 340	2401 170 Notice of Appeal			
1003 550 2003 275 Plant filing fee 1402 340	2402 170 Filing a brief in support of an appeal			
1004 790 2004 395 Reissue filing fee 1403 300	2403 150 Request for oral hearing			
1005 160 2005 80 Provisional filing fee 1451 1,510	1451 1,510 Petition to institute a public use proceeding			
SUBTOTAL (1) (\$) 1452 110	2452 55 Petition to revive - unavoidable			
2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE	2453 685 Petition to revive - unintentional			
Fee from 1501 1,370	2501 685 Utility issue fee (or reissue)			
Extra Claims below Fee Paid 1502 490 Total Claims	2502 245 Design issue fee			
Independent 2** - V	2503 330 Plant issue fee			
Multiple Dependent	1460 130 Petitions to the Commissioner			
Large Entity Small Entity 1806 180	1807 50 Processing fee under 37 CFR 1.17(q) 1808 180 Submission of Information Disclosure Statt 180.00			
Fee Fee Fee Fee Description	1600 160 Submission of information Disclosure Sunt			
Code (\$) Code (\$) 8021 40	8021 40 Recording each patent assignment per property (times number of properties)			
1202 18 2202 9 Claims in excess of 20 1201 88 2201 44 Independent claims in excess of 3	2809 395 Filing a submission after final rejection (37 CFR 1.129(a))			
1203 300 2203 150 Multiple dependent claim, if not paid 1810 790	2810 395 For each additional invention to be			
1204 88 2204 44 ** Reissue independent claims	examined (37 CFR 1.129(b))			
over original patent 1801 790	2801 395 Request for Continued Examination (RCE)			
1205 18 2205 9 ** Reissue claims in excess of 20 1802 900 and over original patent	1802 900 Request for expedited examination of a design application			
SURTOTAL (7) 1(%).	Other fee (specify)			
*Reduced by	*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$) 180.00			

SUBMITTED BY			(Complete (if applicable))
Name (Print/Type)	Gregory M. Howison	Registration No. (Attorney/Agent) 30,646	Telephone 972-680-6050
Signature	Link		Date (/28/0)

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

plication of:

James D. Keeler, Eric J. Hartman and Ralph B. Ferguson

Serial No.:

10/614,335

Filed:

July 7, 2003

Group:

2121

Examiner:

George B. Davis

For:

METHOD AND APPARATUS FOR OPERATING A NEURAL

NETWORK WITH MISSING AND/OR INCOMPLETE DATA

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Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

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02/03/2005 WASFAW1 00000019 10614335

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INFORMATION DISCLOSURE STATEMENT

In accordance with the requirements of 37 C.F.R. §§ 1.56, 1.97, and 1.98, attached please find a Form PTO SB/08 listing information for consideration by the Office in connection with its examination of the above-captioned patent application. A copy of each listed non-US document is enclosed herewith.

This information disclosure statement is being filed after the period specified in paragraph (b) of §1.97, but before the mailing date of either a final action under §1.113, or a notice of allowance under §1.311. Therefore, pursuant to §1.97(c)(2), this information disclosure statement is accompanied by the fee set forth in §1.17(p).

It is brought to Examiner's attention that the references listed on the attached Form PTO SB/08 were previously submitted to the Office in connection with a prior application, namely Application Serial No. 10/040,085, which is relied upon in the current application for an earlier filing date under 35 U.S.C. §120. Pursuant to 37 C.F.R. 1.98(d), copies of such previously submitted items are not provided herein.

Applicants request that this information disclosure statement be considered and that a copy of the Form PTO SB/08 be returned to the undersigned indicating the consideration of each document listed.

REMARKS

Applicants submit that no representation is made, and no representation is intended, that more relevant material does not exist, or that the order of presentation of these materials in any way reflects their relevant pertinence. The listing on the attached Form PTO SB/08 is not intended to constitute an admission of any kind. Specifically, this presentation is not an admission that any of the items listed are properly citable against the above-identified application as prior art. Applicants respectfully submit that their invention is patentable over the enclosed documents listed on Form PTO SB/08.

Please charge any necessary fees or deficiencies in fees necessary for the filing of this paper or credit any overpayment to Deposit Account No. 20-0780/PAVI-26,470 of HOWISON & ARNOTT, L.L.P.

Respectfully submitted,

HOWISON & ARNOTT, L.L.P.

Attorneys for Applicants

Gregory M. Howison Registration No. 30,646

GMH/yoc

P.O. Box 741715 Dallas, Texas 75374-1715 Tel. (972) 479-0462 Fax. (972) 479-0464 January 28, 2005

PTO/SB/08A (08-00)

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

Complete if Known					
Application Number 10/614,335					
Filing Date	July 7, 2003				
First Named Inventor	Keeler et al.				
Group Art Unit 2121					
Examiner Name	George B. Davis				
Attorney Docket Number PAVI-26,470					

	U.S. PATENT DOCUMENTS							
Examiner Initials*	Cite No.1	U.S. Patent Document Kind Code Number (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear			
	1	4,802,103	Faggin et al.	01/1989				
	2	4,813,077	Woods et al.	03/1989				
	3	4,872,122	Altschuler et al.	01/1989				
	4	4,910,691	Skeirik	03/1990	•			
	5	4,965,742	Skeirik	10/1990				
	6	5,006,992	Skeirik	04/1991				
	7	5,052,043	Gaborski	09/1991				
	8	5,081,651	Kubo	01/1992				
	9	5,111,531	Grayson et al.	05/1992				
	10	5,113,483	Keeler et al.	05/1992				
•	11	5,121,467	Skeirik	06/1992				
	12	5,140,523	Frankel et al.	08/1992				
	13	5,150,313	van den Engh et al.	09/1992				
	14	5,175,797	Funabashi et al.	12/1992				
	15	5,255,347	Matsuba et al.	10/1993				
	16	5,276,771	Manukian et al.	01/1994				
	17	5,335,291	Kramer et al.	08/1994				
	18 .	5,353,207	Keeler et al.	10/1994				
	19	5,402,519	Inoue et al.	03/1995				
	20	5,444,820	Tzes et al.	08/1995				

				FOR	EIGN PATENT DOCUMENT	'S		
Examiner Initials*	Cite No.1	Office	Foreign Patent Doo 3 Number ⁴	cument Kind Code ⁵ (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T6
	1	EΡ	0262647	A3	Toshiba	04-06-1988		
	2	EP	0327268	A2	AT&T	08-09-1989		
	3	EP	0436916	A2	Motorola Inc.	07-17-1991		
	4	wo	94/17489		Pavilion Technologies, Inc.			
	5	wo	94/12948		Pavilion Technologies, Inc.	06-09-1994		
	6	wo	94/17482		Pavilion Technologies, Inc.	08-04-1994		-
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Examiner	Date	
Signature	Considered	

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¹ Unique citation designation number. 2 See attached Kinds of U.S. Patent Documents. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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2 Sheet

Complete if Known					
Application Number	10/614,335				
Filing Date	July 7, 2003				
First Named Inventor	Keeler et al.				
Group Art Unit	2121				
Examiner Name	George B. Davis				
Attorney Docket Number	PAVI-26 470				

			U.S. PATENT DOC	JMENTS	
Examiner Initials	Cite No.1	U.S. Patent Docume Kind Co Number (if know	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	21	5,461,699	Arababi et al.	10/1995	
	22	5,467,428	Ulug	11/1995	
	23	5,479,573	Keeler et al.	12/1995	
	24	5,559,690	Keeler et al.	09/1996	
	25	5,581,459	Enbutsu et al.	12/1996	
	26	5,613.041	Keeler et al.	03/1997	
	27	5,659,667	Buescher et al.	08/1997	
	28	5,704,011	Hensen et al.	12/1997	
	29	5,720,003	Chiang et al.	02/1998	
	30	5,729,661	Keeler et al.	03/1998	
	31	5,819,006	Keeler et al.	10/1998	
	32	6,002,839	Keeler et al.	12/1999	
	33	6,169,980	Keeler et al.	01/2001	
	34 -	6,314,414	Keeler et al.	11/2001	
	35	6,613,041	Keeler et al.	03/1997	, , , , , , , , , , , , , , , , , , , ,
	36	6,591,254	Keeler et al.	07/08/2003	

				FORE	IGN PATENT DOCUMENT	rs		
Examiner Initials	Cite No.1	Office ³	Foreign Patent Doo Number ⁴	Kind Code ⁵ (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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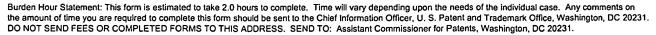
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Substitute for form 1449B/PTO		Complete if Known		
			Application Number	10/614,335
INF	ORMATIO	N DISCLOSURE	Filing Date	July 7, 2003
STATEMENT BY APPLICANT			First Named Inventor	Keeler et al.
•		D : / (: E : O / (: (:)	Group Art Unit	2121
(use as many sheets as necessary)		Examiner Name	George B. Davis	
heet	3	of 4	Attorney Docket Number	PAVIL-26:470

		OTHER PRIOR ART NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Τ²
	1	PHOHA, SHASHI; "Using the National Information Infrastructure (NII) for Monitoring, Diagnostics and Prognostics of Operating Machinery," IEEE Proceedings of the 35th Conference on Decision and Control, Kobe, Japan, pp. 2583-2587, Dec. 1996.	
	2	HARTMAN, ERIC J., KEELER JAMES D., KOWALSKI, JACEK M.; "Layered Neural Networks with Gaussian Hidden Units as Universal Approximations," Neural Computation 2, 1990, Massachusetts Institute of Technology, pp. 210-215.	
	3	HARTMAN, ERIC, KEELER, JAMES D.; "Predicting the Future: Advantages of Semilocal Units," Neural Computation 3, 1991, Massachusetts Institute of Technology, pp. 566-578.	
	4	PRESS, WILLIAM H., FLANNERY, BRIAN P., TEUKOLSKY, SAUL A., VETTERLING, WILLIAM T.; Numerical Recipes: The Art of Scientific Computing, 1986, ch. 3, "Interpolation and Extrapolation," pp. 77-101.	
	5	SERTH, R.W., HEENAN, W. A.; "Gross Error Detection and Data Reconciliation in Steam-Metering Systems," AIChE Journal, vol. 32, No. 5, May 1986, pp. 733-742.	
	6	MYUNG-SUB ROH et al.; Thermal Power Prediction of Nuclear Power Plant Using Neural Network and Parity Space Model, IEEE Transactions on Nuclear Science, vol. 38, no. 2, Apr. 1991, pp. 866-72.	
	7	AUTERE, ANTTI; On Correcting Systematic Errors Without Analyzing Them by Performing a Repetitive Task, IEEE / RSI International Workshop on Intelligent Robots and Systems IROS '91, Nov. 3-5, 1991, pp. 472-7.	
	8	KIMOTO, TAKASHI et al.; Stock Market Prediction System with Modular Neural Networks, IEEE, Jun. 1990, pp. I-1 to I-6.	
	9	DORRONSORO ET AL.; "Neural Fraud Detection in Credit Card Operations," IEEE Transactions on Neural Networks, VOL. 8, NO. 4, Jul. 1997, PP. 827-34.	
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Examiner	Date	
Signature	Considered	

¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.





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Substit	ute for form 1449B/PTC)		Complete if Known		
				Application Number	10/614,335	
INF	ORMATION	1 D	ISCLOSURE	Filing Date	July 7, 2003	
STA	TEMENT	3 Y	APPLICANT	First Named Inventor	Keeler et al.	
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	(use as many s	heet	s as necessary)	Examiner Name	George B. Davis	
Sheet	4	of	4	Attorney Docket Number	PAVI-26,470	

		OTHER PRIOR ART NON PATENT LITERATURE DOCUMENTS	
Examiner Initials	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
	10	SPENCELEY, S.E., WARREN, J.R.; "The Intelligent Interface for Online Electronic Medical Records Using Temporal Data Mining," IEEE Xplore, Proceedings of the 31st Annual Hawaii, International Conference on System Sciences.	
	11	KOUTSOUGERAS; "A feedforward neural network classifier model: multiple classes, confidence output values, and implementation," International Journal of Pattern Recognition and Artificial Intelligence Ed. World Scientific Publishing Co., October 1992, vol. 6, no. 4, pp. 539-569.	
	12	LAPEDES, ALAN, FARBER, ROBERT; "How Neural Nets Work," American Inst. of Physics, 1988, pp. 442-457.	
	13	WEIGEND, ANDREAS S., HUBERMAN, BERNARDO A., RUMELHART, DAVID E; "Predicting the Future: A Connectinist Approach," Stanford University, Stanford-PDP-90-01/PARC-SSL-90-20, Apr. 1990.	
	14	RUMELHART, D.E., HINTON, G.E., WILLIAMS. R.J.; "Learning Internal Representations by error Propagation," Parallel Distributed Processing, vol. 1, 1986.	
	15	RANDER, P.W., UNNIKRISHNAN, K.P.; "Learning the Time-Delay Characteristics in a Neural Network," ICAAADDP-92-IEEE International Conference on Acoustics, Speech and Signal Processing, Mar. 23, 1992, vol. 2, pp. 285-288.	
	16	TAM, DAVID C., PERKEL, DONALD H.; "A Model for Temporal Correlation of biological Neuronal Spike Trains," IJCNN INt. Joint Conference of Neural Networks, Dept. of Physiology and Biophysics, University of California, pp. I-781 - I-786.	
	17	LEVIN, ESTHER, GEWIRTZMAN, RAANAN, INBAR, GIDEON F.; "Neural Network Architecture for Adaptive System Modeling and Control," Neural Networks, 4(1991) No. 2, pp. 185-191.	
	18	TROUDET, T., GARG, S., MATTERN, D. MERRILL, W.; "Towards Practical Control Design Using Neural Computation," ICJNN-91-SeattleInternational Joint Conference on Neural Networks, vol. 2, pp. 675-681, Jul 8, 1991.	
	19	BEERHOLD, J.R., JANSEN, M., ECKMILLER, R.; "Pulse-Processing Neural Net Hardware with Selectable Topology and Adaptive Weights and Delays," IJCNN International Joint Conference on Neural Networks, Jun. 17, 1990, vol. 2, pp. 569-574.	
	20	HAFFNER, PATRICK, FRANZINI, MICHAEL, WAIBEL, ALEX; "Integrating Time Alignment and Neural Networks for High performance Continuous Speech Recognition," ICASSP 91, sponsored by The Inst. of electrical and Electronics Engineers, Signal Processing Society, 1991 Int. Conf. on Acoustics, Speech and Signal Processing, May 14-17, 1991, pp. 105-108.	

Examiner	Date	
Signature	 Considered	

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